



# 2013 Compliance and Certification Committee Stakeholder Survey

Thank you for completing the 2013 Compliance and Certification Committee Stakeholder Survey. You are a Primary Compliance Contact (PCC) for an entity with multiple PCCs. You are the PCC receiving the survey to complete on behalf of your entity. As such, please collaborate with your fellow PCCs to submit your entity's formal response.

The survey due date is **Friday, September 20**.

Please note and remember:

1. All data will be compiled and analyzed by TalentQuest and is completely confidential.
2. You will answer questions separately for NERC and for each applicable Region. The top of each page will indicate the current section you are completing.
3. Each question requires a response to accurately analyze the data. If a question does not pertain to you, simply select the "Not Applicable" option for each row in that question.
4. Your input is valuable to the NERC Board so please take the time to respond fully to the questions. The survey is in addition to any Regional surveys you may have recently received and completed and it serves a different need.
5. Where possible, please provide specific and detailed examples to include quantifiable data of any issues raised or suggested enhancements.
6. Do not identify your respective entity or any personal information in the comment fields.
7. The Electric Reliability Organization Monitoring Subcommittee (EROMS) of the Compliance & Certification Committee (CCC) will redact any clearly inappropriate stakeholder comments in order to present to the NERC Board only appropriate negative and positive feedback from the industry.
8. While completing the survey online, you may "Save and Exit" to later resume, or edit your survey responses. To do so, simply return to your invitation e-mail and click the link to access. To ensure your survey responses are saved on any page, you must select "Next" before navigating "Back" in the survey.
9. If you are in more than one region and have multiple Primary Compliance Contacts, please utilize this soft copy form to gather feedback from the other contacts before submitting the online form.
10. If you have any questions for NERC, please contact Jim Hughes at [Jim.Hughes@nerc.net](mailto:Jim.Hughes@nerc.net). If you have any questions for the CCC, who is sponsoring this survey, please contact Ted Hobson at [hobste@jea.com](mailto:hobste@jea.com) or Bill Temple at [templwj@nu.com](mailto:templwj@nu.com). If you have questions regarding completion of the survey form, please contact [info@talentquest.com](mailto:info@talentquest.com).

*\* Please select the employee type that most closely describes your position:*

	Director and above
	Manager
	Supervisor
	Individual Contributor

*Which region is your registered entity(ies) in:*

	FRCC
	MRO
	NPCC
	RFC
	SERC
	SPP
	TRE
	WECC

*In each region(s) your entity is registered, please indicate for which functions you are registered:*

Functions Registered

	BA	DP	GO	GOP	IA	LSE	PA	PSE	RC	RP	RSG	TO	TOP	TP	TSP
FRCC															
MRO															
NPCC															
RFC															
SERC															
SPP															
TRE															
WECC															

*For each of your entity(ies), please indicate your audit cycle:*

Audit Cycle

	3 YEAR AUDIT CYCLE	6 YEAR AUDIT CYCLE
FRCC		
MRO		
NPCC		
RFC		
SERC		
SPP		
TRE		
WECC		

Please answer the following questions with regard to your experience with **NERC**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **NERC**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **NERC**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **NERC**:

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **FRCC**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **FRCC**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **FRCC**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **FRCC**.

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **MRO**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **MRO**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **MRO**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **MRO**:

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **NPCC**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **NPCC**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **NPCC**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **NPCC**:

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **RFC**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **RFC**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **RFC**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **RFC**:

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **SERC**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **SERC**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **SERC**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **SERC**.

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **SPP**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **SPP**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **SPP**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **SPP**:

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **TRE**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **TRE**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **TRE**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **TRE**:

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **WECC**:

Compliance Monitoring

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Our most recent audit process (including pre- and post- audit activities) was conducted in a timely manner.						
The audit team conducts themselves in a professional and credible manner.						
The audit team is prepared and organized to conduct the audit process.						
The audit team adheres to established rules and processes.						
The spot check process is well-defined, organized and timely.						
The self-reporting process is well-defined, organized and timely.						
The self-certification process is well-defined, organized and timely.						

Please provide any recommendations regarding Compliance Monitoring:

Please answer the following questions with regard to your experience with **WECC**:

Enforcement Actions

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The audit report identifies clear, definitive, and actionable items to address.						
All communication of violations clearly and specifically describe the manner in which a requirement was violated.						
All communication of violations clearly and specifically describe the risk of PV both actual and potential.						
The mitigation plan submission and approval process is efficient and effective.						
The settlement process is transparent, consistently applied, and clearly communicated.						
The penalty process and penalties are transparent, consistently applied, and clearly communicated.						

Please provide any recommendations regarding Enforcement Actions:

Please answer the following questions with regard to your experience with **WECC**:

Organization Registration

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The functional model is clear and minimizes overlaps and gaps.						
The Organization Registration process minimizes overlaps and gaps.						
The Organization Registration process is well-defined and efficient.						
The rules for assigning registered functions to entities are clear and accurately applied.						
The Joint Registration Organization and Coordinated Functional Registration (JRO/CFR) process is clear and consistently implemented.						
Inquiries about the registration process are responded to in a timely and effective manner.						
There is a timely and effective response during the Registry Appeals Process.						

Please provide any recommendations regarding Organization Registration:

Please answer the following questions with regard to your experience with **WECC**:

Organization Certification

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
Organization certification rules and procedures are clear and consistent.						

Please provide any recommendations regarding Organization Certification:

Please answer the following questions with regard to your experience with **NERC and the Regions**:

Compliance & Reliability Impact

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
NERC Compliance programs and corresponding industry efforts have enhanced reliability of the bulk power system.						
Regional Entity Compliance programs and corresponding industry efforts have enhanced reliability of the bulk power system.						
The Standards Driven Index (SDI) which includes the Compliance Index (CI) coupled with the Adequate Level of Reliability (ALR) demonstrates enhanced reliability for the industry.						
The reliability benefits experienced are worth the degree of compliance effort (time and resources) our entity has expended.						

Please provide any recommendations regarding Compliance & Reliability Impact:

Please answer the following questions with regard to your experience with ***NERC and the Regions***:

Other

	Strongly Disagree	Disagree	Neither Disagree Nor Agree	Agree	Strongly Agree	Not Applicable
The Compliance Monitoring and Enforcement processes are applied consistently across NERC and the regions.						

If applicable, please provide specific examples of inconsistencies across regions and/or NERC:

Please provide any recommendations regarding the ERO CMEP:

Please provide any recommendations regarding the Regional Entities:

*Thank you for providing the time and information required to complete the survey.*